

**UTILITY PATENT  
APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications  
under 37 CFR 1.53(b))

Attorney  
Docket No.

**000202**

Total  
Pages

First Named Inventor or Application Identifier

**Kenji SHIMOYAMA, Nobuyuki HOSOI,  
Kazumasa KIYOMI, Yoshinori SATO and Satoshi KIKUCHI**

Express Mail Label No.

Check Box, if applicable ☒ Duplicate

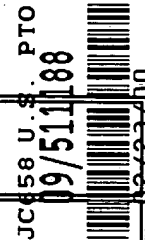
APPLICATION ELEMENTS FOR:  
**SEMICONDUCTOR OPTICAL DEVICE APPARATUS**

ADDRESS TO: Assistant Commissioner for Patents  
BOX PATENT APPLICATIONS  
Washington, D.C. 20231

1. ☒ Fee Transmittal Form (Incorporated within this form) **(The filing fee is deferred).**  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification Total Pages **[46]**
3. ☒ Drawing(s) (35 USC 113) Total Sheets **[6]**
4. ☐ Oath or Declaration Total Pages ☐  
**(Not attached; deferred under P. L. 97-247.**
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from prior application (37 CFR 1.63(d)  
(for continuation/divisional with Box 17 completed).
  - i. ☐ Deletion of Inventor(s)  
Signed statement attached deleting inventor(s) named in prior application,  
see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by reference (useable if box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under box 4b, is considered as being part of the disclosure of the accompanying application and is incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Copy
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statement Verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8. ☐ Assignment Papers (cover sheet and document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney



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**PAGE 2 OF 3**

10. ☐ English translation Document (if applicable)

11. ☐ Information Disclosure Statement

☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Return Receipt Postcard (MPEP 503)

14. ☐ Small Entity Statement(s)

☐ Statement filed in prior application  
Status still proper and desired.

15. ☐ Claim for Convention Priority

☐ Certified copy of Priority Document(s)

a. Priority of \_\_\_\_\_ application no's. \_\_\_\_\_ filed on \_\_\_\_\_ is claimed under 35 USC 119. The  
certified copies/copy have/has been filed in prior application Serial No. \_\_\_\_\_.  
(For Continuing Applications, if applicable).

16. ☐ Other \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior application no. \_\_\_\_/\_\_\_\_

FEE TRANSMITTAL	Number Filed	Number Extra	Rate	Basic Fee \$690.00
The filing fee is calculated below				
Total Claims	53 - 20	33	x \$18.00	<b>594.00</b>
Independent Claims	1 - 3	0	x \$78.00	
Multiple Dependent Claims			\$260.00	
			Basic Filing Fee	<b>1,284.00</b>
				<b>40.00</b>
Reduction by 1/2 for small entity			\$40.00	
Fee for recording enclosed Assignment				<b>1,324.00</b>
TOTAL				


**[XX] NO FEE ENCLOSED. THE FILING FEE IS DEFERRED.**

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	<b>Kenji SHIMOYAMA, Nobuyuki HOSOI, Kazumasa KIYOMI, Yoshikito SATO and Satoshi KIKUCHI</b>	
	PAGE 3 OF 3	

- [ ] A check in the amount of \$ \_\_\_\_\_ is enclosed to cover the filing fee of \$ \_\_\_\_\_ and the assignment recordation fee of \$ \_\_\_\_\_.
- [ ] Please charge our Deposit Account No. **01-2340** in the total amount of \_\_\_\_\_ to cover the filing fee and the \_\_\_\_\_ assignment recordation fee. A duplicate of this sheet is attached.
- [ ] The Commissioner is hereby authorized to charge payment for any additional filing fees required under 37 CFR 1.16 or credit any overpayment to Deposit Account No. **01-2340**. A duplicate of this sheet is attached.

18. CORRESPONDENCE ADDRESS

ARMSTRONG, WESTERMAN, HATTORI  
 McLELAND & NAUGHTON  
 1725 K Street, N.W. Suite 1000  
 Washington, D.C. 20006  
 Telephone: (202) 659-2930  
 Facsimile: (202) 887-0357

SUBMITTED BY		
Typed or Printed Name	<b>William G. Kratz, Jr.</b>	Reg. No. <b>22,631</b>
Signature		Date: <b>February 23, 2000</b>

WGK/llf